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FORM PTO-1449

INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
1875.0560003

APPLICATION NO.  
09/844,283

APPLICANT  
Buchwald *et al.*

FILING DATE  
April 30, 2001

GROUP  
2631

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
EA	AA1	5,485,490	01/1996	Leung <i>et al.</i>	375	371	11/1994
EA	AB1	5,757,857	05/1998	Buchwald	375	271	03/1996
EA	AC1	6,122,336	09/2000	Anderson	375	371	09/1997
	AD1						
	AE1						
	AF1						
	AG1						
	AH1						
	AI1						
	AJ1						
	AK1						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	1	
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SECOND SUPPLEMENTARY  
INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.  
1875.0560003APPLICATION NO.  
09/844,283INVENTORS  
BUCHWALD *et al.*FILING DATE  
April 30, 2001ART UNIT  
2634

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
Eg	AA1	5,396,224	03/1995	Dukes <i>et al.</i>			
Eg	AB1	5,550,546	08/1996	Noneman <i>et al.</i>			
Eg	AC1	5,554,945	09/1996	Lee <i>et al.</i>			
Eg	AD1	5,614,855	03/1997	Lee <i>et al.</i>			
Eg	AE1	5,703,905	12/1997	Langberg			

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
Eg	AF1	EP 1 006 697	06/2000	EP			N/A
Eg	AG1	EP 1 139 619	10/2001	EP			N/A
Eg	AH1	WO 01/29991	04/2001	WO			N/A

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Eg	AI1	Black, Jr., W. and Hodges, D., "Time Interleaved Converter Arrays," <i>IEEE Journal of Solid-State Circuits</i> , IEEE, Vol. SC-15, No. 6, December 1980, pages 1022-1029.
Eg	AJ1	Conroy, C. et al., "An 8-b 85-MS/s Parallel Pipeline A/D Converter in 1- $\mu$ m CMOS," <i>IEEE Journal of Solid-State Circuits</i> , IEEE, Vol. 28, No. 4, April 1993, pages 447-454.
Eg	AK1	Dally, W. and Poulton, J., "Transmitter Equalization for 4Gb/s Signalling," <i>Proceedings of Hot Interconnects IV</i> , Palo Alto, CA, 1996, 10 pages.
Eg	AL1	Ellersick, W. et al., "A Serial-Link Transceiver Based on 8GSample/s A/D and D/A Converters in 0.25 $\mu$ m CMOS," <i>IEEE International Solid-State Circuits Conference</i> , IEEE, 2001, page 58-59 and 430.
Eg	AM1	Ellersick, W. et al., "GAD: A 12-GS/s CMOS 4-bit A/D Converter for an Equalized Multi-Level Link," <i>Symposium on VLSI Circuits Digest of Technical Papers</i> , 1999, pages 49-52.
Eg	AN1	Eklund, J-E. and Gustafsson, F., "Digital Offset Compensation of Time-Interleaved ADC Using Random Chopper Sampling," <i>IEEE International Symposium on Circuits and Systems</i> , IEEE, May 28-31, 2000, pages III-447 thru III-450.

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EJ	AA2	5,768,268	06/1998	Kline <i>et al.</i>			
EJ	AB2	5,822,143	10/1998	Cloke <i>et al.</i>			
EJ	AC2	5,881,107	03/1999	Termerinac <i>et al.</i>			
EJ	AD2	5,945,862	08/1999	Donnelly <i>et al.</i>			
EJ	AE2	6,005,445	12/1999	Katakura			

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EJ	AF2	WO 01/54317	07/2001	WO			N/A
EJ	AG2	WO 01/65788	09/2001	WO			N/A
EJ	AH2	WO 01/84702	11/2001	WO			N/A

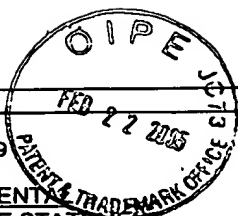
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EJ	AI2	Fu, D. <i>et al.</i> , "A Digital Background Calibration Technique for Time-Interleaved Analog-to-Digital Converters," <i>IEEE Journal of Solid-State Circuits</i> , IEEE, Vol. 33, No. 12, December 1998, pages 1904-1911.
EJ	AJ2	Guizani, M. and Al-Ali, A., "PC-Compatible Optical Data Acquisition Unit," <i>Instrumentation and Measurement Technology Conference</i> , IEEE, May 10-12, 1994, pages 1099-1102.
EJ	AK2	Jenq, Y.-C., "Digital Spectra of Nonuniformly Sampled Signals: A Robust Sampling Time Offset Estimation Algorithm for Ultra High-Speed Waveform Digitizers Using Interleaving" <i>Transactions on Instrumentation and Measurement</i> , IEEE, Vol. 39, No. 1, February 1990, pp. 71-75.
EJ	AL2	Mason, R. and Taylor, J.T., "High-Speed Electro-Optic Analogue to Digital Converters," <i>IEEE International Symposium on Circuits and Systems</i> , IEEE, 1993, pages 1081-1084.
EJ	AM2	Niewczas, P. <i>et al.</i> , "Error Analysis of an Optical Current Transducer Operating with a Digital Signal Processing System," <i>IEEE Transactions on Instrumentation and Measurement</i> , IEEE, Vol. 49, No. 6, December 2000, pages 1254-1259.
EJ	AN2	Petraglia, A. and Mitra, S., "Analysis of Mismatch Effects Among A/D Converters in a Time-Interleaved Waveform Digitizer," <i>IEEE Transactions on Instrumentation and Measurement</i> , IEEE, Vol. 40, No. 5, October 1991, pages 831-835.

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EJ	AB3	6,038,269	03/2000	Raghavan			
EJ	AC3	6,134,268	10/2000	McCoy			
EJ	AD3	6,329,859 B1	12/2001	Wu			
EJ	AE3	6,359,486 B1	03/2002	Chen			

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EJ	AF3	WO 01/84724	11/2001	WO			N/A
EJ	AG3	WO 02/13424	02/2002	WO			N/A
EJ	AH3	WO 02/071616	09/2002	WO			N/A

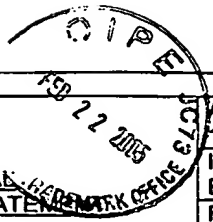
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

EJ	AI3	Sauer-Greff, W. <i>et al.</i> , <i>Maximum-Likelihood Sequence Estimation of Nonlinear Channels in High-Speed Optical Fiber Systems</i> , April 6, 2001, Retrieved from the Internet at <a href="http://www.ftw.at/Dokumente/010406a.pdf">http://www.ftw.at/Dokumente/010406a.pdf</a> , 29 pages.
EJ	AJ3	Williamson, R.C. <i>et al.</i> , "Effects of Crosstalk in Demultiplexers for Photonic Analog-to-Digital Converters," <i>Journal of Lightwave Technology</i> , IEEE, Vol. 19, No. 2, February 2001, pages 230-236.
EJ	AK3	Yang, C-K., <i>Design Techniques for High-Speed Chip-to-Chip Links</i> , Retrieved from the Internet at <a href="http://web.doe.carleton.ca/courses/97578/topic5/Tutorial_SerialLink.pdf">http://web.doe.carleton.ca/courses/97578/topic5/Tutorial_SerialLink.pdf</a> , 31 pages.
EJ	AL3	Yang, C-K. <i>et al.</i> , "A Serial-Link Transceiver Based on 8-Gsamples/s A/D and D/A Converters in 0.25- $\mu$ m CMOS," <i>IEEE Journal of Solid-State Circuits</i> , IEEE, Vol. 36, No. 11, November 2001, pages 1684-1692.
EJ	AM3	Zuoxi, T., "Implementation of a Digital Multibeam Receiver Based on TMS320C80 for Laser Optoacoustic Remote Sensing," <i>Proceedings of ICSP2000</i> , IEEE, 2000, pages 2082-2084.
EJ	AN3	Agazzi, O. and Lenosky, T., <i>Algorithm to Postprocess Measured Data</i> , IEEE 802.3ae Equalization Ad Hoc Group, January 10, 2001, 11 pages.

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E	AA4	6,397,048 B1	05/2002	Toda			
E	AB4	6,498,694 B1	12/2002	Shah			
E	AC4	6,509,773 B2	01/2003	Buchwald <i>et al.</i>			
E	AD4	6,791,388 B2	09/2004	Buchwald <i>et al.</i>			
E	AE4	2002/0012152 A1	01/2002	Agazzi <i>et al.</i>			

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	AF4						Yes No
	AG4						Yes No
	AH4						Yes No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

E	AI4	Agazzi, O., <i>A Link Model for Equalized Optical Receivers</i> , IEEE 802.3ae Equalization Ad Hoc Group, March 11, 2001, 30 pages.
E	AJ4	Agazzi, O. <i>et al.</i> , <i>DSP-Based Equalization for Optical Channels: Feasibility of a VLSI Implementation</i> , IEEE 802.3ae, New Orleans, September 12-14, 2000, 39 pages.
E	AK4	Agazzi, O. <i>et al.</i> , <i>Interim Observations on Multimode Optical Channels</i> , IEEE 802.3ae - Equalization Ad Hoc, Tampa, November 5, 2000, 29 pages.
E	AL4	Agazzi, O. <i>et al.</i> , <i>Measurements of DMD-Challenged Fibers at 3.125Gb/s</i> , IEEE 802.3ae Equalization Ad Hoc, January 10, 2001, 33 pages.
E	AM4	Agazzi, O. and Lenosky, T., "Measurement of Non-Stationarity of 10 Gb/s Multimode Fiber Links," November 24, 2000, 5 pages.
E	AN4	Agazzi, O., <i>10 Gb/s PMD Using PAM-5 Modulation</i> , IEEE 802.3, Dallas, January 18-20, 2000, 19 pages.

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2634**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA5	2002/0039395 A1	04/2002	Buchwald <i>et al.</i>			
	AB5	2002/0044617 A1	04/2002	Buchwald <i>et al.</i>			
	AC5	2002/0044618 A1	04/2002	Buchwald <i>et al.</i>			
	AD5	2002/0080898 A1	06/2002	Agazzi <i>et al.</i>			
	AE5	2004/0212416 A1	10/2004	Buchwald <i>et al.</i>			

**FOREIGN PATENT DOCUMENTS**

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	AF5						Yes No
	AG5						Yes No
	AH5						Yes No

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

	AI5	Agazzi, O. <i>et al.</i> , 10 Gb/s PMD Using PAM-5 Trellis Coded Modulation, IEEE 802.3, Albuquerque, March 6-10, 2000, 38 pages.
	AJ5	Bhatt, V., Equalization Ad Hoc Concluding Report, IEEE P802.3ae Plenary, March 2001, 12 pages.
	AK5	Bingham, J.A.C., "Multicarrier Modulation for Data Transmission: An Idea Whose Time Has Come," <i>IEEE Communications Magazine</i> , IEEE, Vol. 28, No. 5, pages 5-8 and 11-14.
	AL5	Chiddix, J. <i>et al.</i> , "AM Video on Fiber in CATV Systems: Need and Implementation," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 7, September 1990, pages 1229-1239.
	AM5	Darcie, T., "Subcarrier Multiplexing for Lightwave Networks and Video Distribution Systems," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 7, September 1990, pages 1240-1248.
	AN5	Fettweis, G., "High-Rate Viterbi Processor: A Systolic Array Solution," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 8, October 1990, pages 1520-1534.

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	AA6						
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	AF6						Yes No
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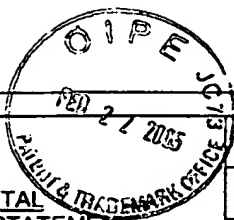
	AI6	Fettweis, G., "Parallel Viterbi Algorithm Implementation: Breaking the ACS-Bottleneck," <i>IEEE Transactions on Communications</i> , IEEE, Vol. 37, No. 8, August 1989, pages 785-790.
	AJ6	Forney, Jr., G.D., "The Viterbi Algorithm," <i>Proceedings of the IEEE</i> , IEEE, Vol 61, No. 3, March 1973, pages 268-278.
	AK6	Frazier, H., <i>IEEE 802.3 Higher Speed Study Group</i> , IEEE 802.3 HSSG, Kauai, Hawaii, November 9, 1999, 24 pages.
	AL6	Giaretta, G. and Lenosky, T., <i>Adaptive Equalization of DMD Challenged Multimode Fiber at 1300 nm</i> , IEEE P802.3ae Plenary, March 11, 2001, 10 pages.
	AM6	Hatamian, M. <i>et al.</i> , "Design Considerations for Gigabit Ethernet 1000Base-T Twisted Pair Transceivers," <i>IEEE 1998 Custom Integrated Circuits Conference</i> , IEEE, 1998, pages 335-342.
	AN6	Isaacs, M <i>et al.</i> , <i>Measurements of Fiber Responses at 5 Gb/s Data Rate Using 850nm VCSELs</i> , IEEE 802.3ae Equalization Ad Hoc, March 11, 2001, 18 pages.

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	AA7						
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
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**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

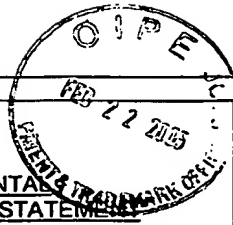
fy	AI7	Kanno, N. and Ito, K., "Fiber-Optic Subcarrier Multiplexing Video Transport Employing Multilevel QAM," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 7, September 1990, pages 1313-1319.
fy	AJ7	Kasper, B.L., "Equalization of Multimode Optical Fiber Systems," <i>The Bell System Technical Journal</i> , American Telephone and Telegraph Company, Vol. 61, No. 7, September 1982, pages 1367-1388.
fy	AK7	Kasturia, S. and Winters, J., "Techniques for High-Speed Implementation of Nonlinear Cancellation," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 9, No. 5, June 1991, pages 711-717.
fy	AL7	Lenosky, T., <i>A Unified Method of Calculating PMD-induced Pulse Broadening</i> , IEEE 802.3ae Equalization Ad Hoc Meeting, Tampa, Florida, November 5, 2000, 8 pages.
fy	AM7	Lenosky, T. and Giarretta, G., <i>Five Gb/s Multimode DMD at 850 nm: Real-Time Data and Equalizer Simulations</i> , Finisar Corporation, March 11, 2001, 13 pages.
fy	AN7	Lenosky, T. <i>et al.</i> , <i>Measurements of DMD-Challenged Fibers at 850nm and 2Gb/s Data Rate</i> , IEEE 802.3ae - Equalization Ad Hoc Group, January 10, 2001, 21 pages.

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	AH8						Yes No

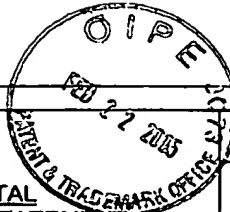
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	AI8	Lenosky, T. <i>et al.</i> , <i>Measurements of DMD-Challenged Fibers at 1310nm and 1Gb/s Data Rate</i> , IEEE 802.3ae - Equalization Ad Hoc Group, January 10, 2001, 21 pages.
	AJ8	Liu, M-K. and Modestou, P., "Multilevel Signaling and Pulse Shaping for Spectrum Efficiency in Subcarrier Multiplexing Transmission," <i>IEEE Journal of Lightwave Technology</i> , IEEE, Vol. 12, No. 7, pages 1239-1246.
	AK8	Olshansky, R. <i>et al.</i> , "Subcarrier Multiplexed Coherent Lightwave Systems for Video Distribution," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 7, September 1990, pages 1268-1275.
	AL8	Olshansky, R. <i>et al.</i> , "Subcarrier Multiplexed Lightwave Systems for Broadband Distribution," <i>IEEE Journal of Lightwave Technology</i> , IEEE, Vol. 7, No. 9, September 1989, pages 1329-1341.
	AM8	Otte, S. and Rosenkranz, W., "A Decision Feedback Equalizer for Dispersion Compensation in High Speed Optical Transmission Systems," <i>International Conference on Transparent Optical Networks</i> , IEEE, 1999, pages 19-22.
	AN8	Parhi, K. <i>et al.</i> , <i>Parallel Implementation of the DSP Functions of the PAM-5 10Gb/s Transceiver</i> , IEEE 802.3ae Task Force, March 2000, 12 pages.

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	AF9						Yes No
	AG9						Yes No
	AH9						Yes No

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	AI9	Peral, E. <i>et al.</i> , <i>Measurements of time variation in DMD-challenged multimode fiber at 1310nm for 10GE equalizer applications</i> , IEEE P802.3ae Equalization Ad Hoc, IEEE, March 2001, 19 pages.
	AJ9	Personick, S.D., "Baseband Linearity and Equalization in Fiber Optic Digital Communication Systems," <i>Bell System Technical Journal</i> , American Telephone and Telegraph Company, Vol. 52, No. 7, September 1973, pages 1175-1194.
	AK9	Personick, S.D., "Receiver Design for Digital Fiber Optic Communication Systems, I," <i>Bell System Technical Journal</i> , American Telephone and Telegraph Company, Vol. 52, No. 6, July-August 1973, pages 843-874.
	AL9	Personick, S.D., "Receiver Design for Digital Optic Systems," <i>National Telecommunications Conference</i> , IEEE, Atlanta, Georgia, November 26-28, 1973, Vol. 1, pages 8E-1 - 8E-4.
	AM9	Vorenkamp, P. <i>et al.</i> , <i>Analog Interface for 10-Gb/s Ethernet</i> , IEEE 802.3ae Task Force, March 2000, 13 pages.
	AN9	Winters, J. and Gitlin, R., "Electrical Signal Processing Techniques in Long-Haul Fiber-Optic Systems," <i>IEEE Transactions on Communications</i> , IEEE, Vol. 38, No. 9, September 1990, pages 1439-1453.

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**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA10						
	AB10						
	AC10						
	AD10						
	AE10						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AF10						Yes No
	AG10						Yes No
	AH10						Yes No

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

g	AI10	Winters, J. et al., "Reducing the Effects of Transmission Impairments in Digital Fiber Optic Systems," <i>IEEE Communications Magazine</i> , IEEE, June 1993, pages 68-76.
g	AJ10	<i>Progress Report on Equalization of Multimode Fibers</i> , IEEE 802.3ae Ad Hoc Group on Equalization, January 12, 2001, 16 pages.
g	AK10	Alderrou, D. et al., <i>XAUI/XGXS Proposal</i> , IEEE 802.3ae Task Force, May 23-25, 2000, 28 pages.
g	AL10	Winters, J.H. and Gillin, R., "Electrical Signal Processing Techniques in Long-Haul, Fiber-Optic Systems," <i>IEEE International Conference on Communications</i> , IEEE, Vol. 1, April 16-19, 1990, pages 0397-0403.
	AM10	
	AN10	

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